

NIDDK APPLICATION GUIDELINES FOR RESEARCH SUPPLEMENTS TO PROMOTE DIVERSITY IN HEALTH-RELATED RESEARCH

INTRODUCTION

NIDDK PROGRAM ADMINISTRATOR

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INTRODUCTION

The NIDDK Application Guidelines for Research Supplements to Promote Diversity in Health-Related Research has been prepared to use in conjunction with the National Institutes of Health (NIH) program announcement for Research Supplements to Promote Diversity in Health-Related Research program,

<http://grants.nih.gov/grants/guide/pa-files/PA-05-015.html>

Principal Investigators planning to apply for the NIDDK Research Supplements to Promote Diversity in Health-Related Research should use this document to assist them in the preparation of their applications.

The National Institute of Diabetes and Digestive and Kidney Diseases participates in the NIH Research Supplements program with the overall goal of promoting diversity and increasing the number of underrepresented minorities in the biomedical, behavioral, clinical and social sciences research workforce. NIDDK supports and recruits talented students, post doctorates and eligible investigators from groups of individuals that have been shown to be underrepresented in health-related sciences by the National Sciences Foundation (NSF) (see <http://www.nsf.gov/sbe/srs/women/start.htm>). Such groups include underrepresented racial and ethnic groups, individuals with disabilities and individuals from disadvantaged backgrounds.

Research supplements are awarded to active grants supported by NIDDK. NIDDK sponsored research encompasses a broad spectrum of metabolic diseases such as diabetes, inborn errors of metabolism, endocrine disorders, mineral metabolism, digestive diseases, nutrition, urological and kidney diseases, and hematology. In addition, NIDDK supports basic research studies in biochemistry, nutrition, pathology, histochemistry, chemistry,

physical, chemical, and molecular biology, pharmacology, and toxicology that fall within its mission areas.

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SECTION I. ELIGIBILITY AND MECHANISMS OF SUPPORT

1. Eligible Grants

Principal Investigators at domestic institutions who hold an active R01, R10, R18, R22, R24, R35, R37, R43, R44, R41, R42, P01, P20, P30, P40, P41, P50, P51, P60, U01, U10, U19, U41, U42, U54, or S06 grant exclusively may be eligible to submit a request for a research supplement.

Principal Investigators holding an Academic Research Enhancement Award (R15), or an Exploratory/Developmental Grant (R21) also may apply for a supplement under this program. Grantees with support from these mechanisms MUST check with the NIDDK program administrator before an application for a supplement is submitted. Awardees of the R15 and R21 grants may apply only when the minority candidate is a high school or an undergraduate student. The S06 award mechanism is only eligible for supplements to support postdoctoral fellows and faculty. The P20, P30, and P60 award mechanisms are eligible for supplements only when they contain research components. In all cases, the mechanism of support under this program is the supplemental award.

Eligible parent grants must have two years of support remaining at the time of the supplemental award. The budget period for the supplement MUST fall within the active budget period of the parent grant. Research supplements end with the termination of the competitive cycle of the parent grant (see [Section II.7.](#), below)

2. Eligible Institutions Include:

- For-profit organizations
- Non-profit organizations;
- Public or private institutions, such as universities, colleges, hospitals, and laboratories;

- Units of State government;
- Units of local government;
- Eligible agencies of the Federal government;
- Domestic institutions/organizations; and
- Faith-based or community-based organizations.

3. Eligible Candidates

Applications may be submitted to support high school students, undergraduate students, post-baccalaureate students, post-master's degree students, graduate students, individuals in postdoctoral training, and faculty members who will participate in the ongoing research project. Specific eligibility requirements relative to each career level are described below (see [Section I.4.E](#), below.) This program also will provide additional support for established investigators and project leaders on components of program projects and center grants who become disabled.

For the purpose of this announcement, institutions are encouraged to identify candidates who will increase diversity on a national basis. The strength of an institution's description and justification for the appointment of an identified candidate will be judged along with all other aspects of the proposed experience (see [Section IV.1.](#), Review criteria). As discussed, the NIH is particularly interested in encouraging the recruitment and retention of the following classes of candidates:

3.A. Individuals from Racial and Ethnic Groups that have been Shown by the National Science Foundation to be Underrepresented in Health-Related Sciences on a National Basis (see <http://www.nsf.gov/sbe/srs/women/start.htm>.)

3.B. Individuals with Disabilities are defined as those with a physical or mental impairment that substantially limits one or more major life activities.

3.C. Individuals from Disadvantaged Backgrounds are defined as:

1. Individuals who come from a family with an annual income below established low-income thresholds. These thresholds are based on family size; published by the U.S. Bureau of the Census; adjusted annually for changes in the Consumer Price Index; and adjusted by the Secretary for use in all health professions programs. The Secretary periodically publishes these income levels at <http://aspe.hhs.gov/poverty/index.shtml>.
2. For individuals from low income backgrounds, the institution must be able to demonstrate that such candidates have qualified for Federal disadvantaged assistance or they have received any of the following student loans: Health Professions Student Loans (HPSL), Loans for Disadvantaged Student Program, or they have received scholarships from the U.S. Department of Health and Human Services under the Scholarship for Individuals with Exceptional Financial Need.

3. Come from a social, cultural, or educational environment such as that found in certain rural or inner-city environments that have demonstrably and recently directly inhibited the individual from obtaining the knowledge, skills, and abilities necessary to develop and participate in a research career. Eligibility related to a disadvantaged background is most applicable to high school and perhaps to undergraduate candidates, but would be more difficult to justify for individuals beyond that level of academic achievement.

Awards under this program are limited to citizens or non-citizen nationals of the United States who have been lawfully admitted for permanent residence in the United States (i.e., in possession of an Alien Registration Receipt Card or some other legal evidence of admission for permanent residence at the time of application).

The NIH believes that by providing research opportunities for qualified individuals at various career levels, the number entering and remaining in health-related research careers will increase. Accordingly, Principal Investigators are encouraged to consider administrative supplements under this program for candidates at the following career levels:

- High School Students who have expressed an interest in the health-related sciences.
- Undergraduate Students who have demonstrated an interest in and wish to pursuing graduate level research training in health-related sciences.
- Post-Baccalaureate Students and Post-Master's Degree Students who have recently graduated and have demonstrated an interest and wish to pursue further graduate level training in health-related research sciences.
- Pre-doctoral Students who wish to develop their research capabilities in the health-related sciences.
- Individuals in Postdoctoral Training who wish to participate as postdoctoral researchers in ongoing research projects and career development experiences in preparation for an independent career in a health-related research.
- Faculty who wish to participate in ongoing research projects while further developing their own independent research potential.
- Established investigators who become disabled. This program will provide additional support for established NIDDK-funded investigators and project leaders on components of program projects and center grants who become disabled. The additional support may be requested for assistance or special equipment that will facilitate a continuing contribution to the goals of the parent grant. Because this program differs in substantial ways from the other supplemental awards listed here, it is described in a separate section below.

Special considerations related to each career level are discussed below.

4. Other-Special Eligibility Criteria

4.A. The Research Proposal

1. In all cases, the proposed research experience must be an integral part of the approved, ongoing research of the parent grant and it must have the potential to contribute significantly to the research career development of the candidate.
2. Applications for supplements must include a plan for the candidate to interact with other individuals on the parent grant, to contribute intellectually to the research, and to enhance her/his research skills and knowledge regarding the selected area of biomedical science.
3. It must also provide evidence of a focus on the enhancement of the research capability of the underrepresented or disadvantaged student or faculty member and that the research experience is intended to provide opportunities for development as a productive researcher.
4. It must demonstrate that the Principal Investigator is willing to provide appropriate mentorship.

4.B. The Number of Research Supplements per Grant

Usually, a parent grant may support only one individual on a supplement. However, under special circumstances, a maximum of two supplements will be allowed on a single grant provided there is adequate laboratory space and mentorship. A separate application and research proposal is required for each. Investigators may recruit:

- Two high school, two undergraduate, two post-baccalaureates, two post-masters students or combination of any two.
- One pre-doctoral and/or one post-doctoral and/or one investigator level candidate.
- One pre-doctoral, post-doctoral, or investigator level candidate in addition to one high school, undergraduate, post-baccalaureate or post-masters student.

4.C. The Number of Supplements per Candidate

Candidates may receive support from only one supplement program at a time, but may be supported by more than one supplement during the development of their research careers. Support under the supplement program is not transferable to another individual. Transfer of the supplement award to another institution will be considered provided the parent grant has been approved for transfer to the accepting institution and the minority candidate and Principal Investigator will be transferring to the same institution as the parent grant. The applicant must contact the Program Administrator listed above prior to transfer of the supplement award.

4.D. Previous Public Health Service Support

These programs have been designed to attract individuals from underrepresented groups into research careers and are not intended to provide an alternative or additional means of supporting individuals who already receive support from an NIH research grant, an NIH

National Research Service Award (NRSA), or any other DHHS funding mechanism. Individuals with support from NIH Loan Repayment programs are eligible for support under this funding mechanism. Graduate students or individuals in postdoctoral training who are supported by an Institutional NRSA may not be transferred to supplemental support prior to the completion of their appointed period of training. Individuals may not be transferred to a supplement to increase the availability of funds to the parent grant for other uses.

1. Candidates are still eligible if they have previously received support from these programs:

- The Minority Biomedical Research Support (MBRS) Program
- The Minority-Research Infrastructure Support Program (M-RISP)
- The Minority Access to Research Career (MARC) Program
- Career Opportunities in Research Education and Training (COR)
- Small Grants (R03)
- National Research Service Award (NRSA)
- Pre-doctoral (F31) and post-doctoral (F32) fellowships
- The Academic Research Enhancement Award (AREA) Program (R15)
- NIH Loan Repayment Program

2. Candidates are ineligible if they have received previous PHS support:

- As an independent Principal Investigator on a regular research grant (e.g., R01, R29)
- As the project leader on a component of a program project or center grant (e.g., P01, P50, G12)
- As the Principal Investigator on an individual research career award (e.g., KO1, K02, K07, K08, and K12)

Applicants are strongly encouraged to contact the NIH institute staff prior to submission to obtain specific information about eligibility and preparing and submitting an application.

4.E. Special Eligibility Requirements for Each Career Level

In addition to the eligibility provisions discussed above, there are special considerations associated with different career levels. The following describes special requirements for High School Students; Undergraduate Students; Post-Master's and Post-Baccalaureate Degree Students; Graduate Students; Postdoctoral Researchers; Faculty Level Researchers, and Individuals who Become Disabled.

1. High School Students

The purpose of this program is to provide high school students with an opportunity to obtain a meaningful experience in various aspects of health-related research to stimulate

their interest in careers in biomedical, behavioral, clinical or social sciences. Any eligible high school student who is currently enrolled and in good standing at her or his high school and is interested in biomedical, behavioral, clinical or social research is encouraged to participate in this program.

2. Undergraduate Students

This supplement program provides an opportunity for undergraduate students interested in health-related research to participate in a research project during the summer months and/or during the academic school year. This experience is separate from any requirement of the regular academic program. The student may be affiliated with either the applicant institution or another academic institution. Any eligible undergraduate student interested in health-related research is encouraged to participate in this program.

3. Post-Baccalaureate and Post-Master's Degree Students

This supplement will provide opportunities for recent baccalaureate or master's degree graduates (no longer than two years post-degree) who wish to spend up to two years engaged in health-related research while applying for admission to graduate or medical school. The duration of the program is normally one year, but the research experience can be extended for a maximum of one additional year if evidence is provided to show that the candidate is actively pursuing entry into a graduate or a health professions school. This program may not be used to provide technical support to NIH-supported investigators. Recent graduates (no longer than two years post-degree) who have earned either a bachelor's or master's degree in a health-related science are eligible for consideration. Students who are actively planning to attend medical, dental or other professional schools are encouraged to use this program to gain research experience.

4. Pre-Masters and Pre-Doctoral Graduate Research Assistants

The objective of this program is to reach out to graduate students enrolled in biomedical, behavioral, clinical or social sciences Graduate programs at the time of application in order to provide an opportunity to further develop their research capabilities. However, students who are currently supported on research or training grants may not be supported on research supplements.

- Any eligible graduate student who is enrolled in a master's or a research doctoral degree program in biomedical, behavioral, clinical or social sciences at the time of application is eligible for consideration.
- Students in medical school or other professional schools are encouraged to use this program to gain research experience.
- Students in Ph.D. degree programs who are supported on supplements are encouraged to apply for the Ruth L. Kirschstein National Research Service Award, or similar types of support (e.g. dissertation grants) from the NIH, other federal agencies, or private organization.

5. Individuals in Postdoctoral Training

These supplements provide research support to permit individuals in the postdoctoral phase of their training to participate in ongoing research projects. This experience must serve as a means of assisting the postdoctoral fellow's development into productive researcher in a health-related science. Postdoctoral fellows who are currently being supported on research or training grants may not be supported on research supplements. Supported candidates should be encouraged to submit applications for fellowships, research grants, and other sources of independent support before the supplement period ends. The individual in postdoctoral training may be affiliated with either the applicant institution or some other institution. Only under extraordinary circumstances, which must be well justified in the application, would it be acceptable for the postdoctoral candidate to work with his/her former pre-doctoral mentor.

6. Investigators Developing Independent Research Careers

These supplements provide either short or long-term research support for faculty members to enhance their research skills and establish an independent research career.

- **Short-term Investigator Research Supplement:** This supplement provides short-term support for faculty members to conduct full-time research for three to five months each year during the summer or another portion of the academic year, over a maximum period of two years.
- **Long-term Investigator Research Supplement:** This supplement provides long-term research support for faculty members to conduct research in the biomedical or behavioral sciences. Support is usually provided for up to two consecutive years at a minimum of 50 percent effort for physicians with a clinical practice and 75% effort for other physicians and PhD's during each 12-month period.

In both cases, the investigator may be affiliated with the applicant institution or some other institution. The investigator must have a doctoral degree, be beyond the level of a research trainee, typically employed at the junior faculty level (instructor or assistant professor) with at least one year of postdoctoral or equivalent research experience.

7. Supplements for Established Investigators Who Become Disabled

Established investigators on NIH research grants, program projects, or center grants who become disabled during the current project period may request funds for reasonable accommodations to permit completion of the currently funded research project. Any currently funded Principal Investigator or Co-Investigator (hereinafter referred to as Established Investigator) on an NIH research project grant, program project grant, or center grant may request support for special equipment, an assistant, or other modifications to facilitate reasonable accommodation to a disabling injury or illness that has occurred during the current project period

SECTION II. APPLICATION AND SUBMISSION INFORMATION

1. Address to Request Application Information

The PHS 398 application instructions are available at <http://grants.nih.gov/grants/funding/phs398/phs398.html> in an interactive format. For further assistance contact GrantsInfo, Telephone (301) 435-0714, Email: GrantsInfo@nih.gov.

Telecommunications for the hearing impaired: TTY 301-451-0088.

2. Letter of Intent

A letter of intent is not required for the funding opportunity.

3. Content and Form of Application Submission

Applications must be prepared using the PHS 398 research grant application forms (rev. 9/2004). Applications must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number as the universal identifier when applying for Federal grants or cooperative agreements. The D&B number can be obtained by calling (866) 705-5711 or through the web site at <http://www.dnb.com>. The D&B number should be entered on line 11 of the face page of the PHS 398 form.

The title and number of this funding opportunity must be typed on line 2 of the face page of the application form and the YES box must be checked.

3.A. The Request for a Supplemental Award Must Include the Following:

1. A completed face page (with appropriate signatures) from Grant Application Form PHS 398. Include the title and grant number of the parent grant on line 1 and the name "Research Supplements to Promote Diversity in Health-Related Research" on line 2.
2. A brief three to four page description, prepared by the Principal Investigator of the parent grant that includes:
3. A summary or abstract of the funded grant or project.
4. A plan and timeline for the research and career development experiences proposed for the candidate.
5. A description of how the research and career development experiences will expand and foster the research capabilities of the candidate; how the proposed experiences relates to the specific research goals and objectives of the parent grant; and a description of the mentorship that will be provided.
6. A signed statement from the candidate outlining her/his research objectives and career goals.

7. A biographical sketch of the candidate that includes evidence of scientific achievement or interest. The source of current funding must also be listed.

8. The candidate should include a permanent (usually family) address or phone number.

9. Social Security Number of the candidate. (The PHS uses the Social Security Number for the purpose of accurate identification, referral, and review of applications and for efficient management of PHS grant programs. Although provision of the Social Security Number is voluntary, it will facilitate the processing of applications for supplements.)

10. A signed statement from the Principal Investigator and an institutional official establishing the eligibility of the candidate for support under this program.

- The statement must include clearly presented information on citizenship as well as the nature of the candidate's disability, circumstances, background, or characteristics that confer eligibility under this program (see eligibility classes listed above in Section I.)
- Documentation of participation in programs described in Section I must be provided for individuals from low income backgrounds.
- There must be objective evidence related to a background in a socially, culturally, or educationally disadvantaged environment for those using the criteria listed in Section I for disadvantaged backgrounds.
- The statement must include a convincing description of how the appointment of this specific candidate will address the issue of diversity within the national scientific workforce or within the workforce or the relevant population at the grantee institution.
- The statement must additionally describe any current or previous PHS research grant support the candidate has received.
- The strength of this statement will be considered by the NIH administrative review committee along with all other material provided.

11. A proposed budget entered on budget pages from Grant Application Form PHS 398, related to the percent effort (where appropriate) for the research experience of the candidate during the first and second year. If the initial budget period requested is less than 12 months, the budget must be prorated accordingly.

12. Documentation, if applicable, that the proposed research experience was approved by the Institutional Animal Care and Use Committee (IACUC) or human subjects Institutional Review Board (IRB) at the grantee institution must be provided. Adherence to the NIH policy for including women and minorities in clinical studies must also be insured if additional human subjects' involvement is planned for the supplement component.

13. A copy of the most recent official transcript if the candidate is a high school, undergraduate, post-baccalaureate degree, post-master's degree, or graduate student.

14. If the candidate is a student at another institution during the academic year, the application must include an appropriately signed letter from a responsible official at the institution of matriculation indicating that participation at the stated level of effort is approved and will not detract from or interfere with the student's course of studies if the research is to be undertaken during the academic year.

15. If any of the research is to be conducted at a site other than the grantee institution, an appropriately signed letter from the institution where the research is to be conducted must be submitted. The request must be signed by the candidate, the Principal Investigator, and the appropriate institutional business official.

16. If the request is for a supplement based on disability,

- The institution should indicate what, if any, reasonable accommodations the institution has supported or plans to provide along with a full description of how any additional support for accommodation might be used.
- The relationship of the proposed accommodation to the proposed project must be described.

4. Sending an Application to the NIH

A request for a supplement may be submitted at any time. In making requests, the grantee institution, on behalf of the Principal Investigator of the parent grant and in cooperation with the candidate **must submit the request for supplemental funds directly to NIDDK. The request should not be submitted to the NIH Center for Scientific Review.** The Principal Investigator must submit one original and two copies of the application to the address listed under [Program Administrator](#) above.

5. Application Receipt, Review and Anticipated Start Dates

5.A. Application Processing

Applications may be submitted at any time. Applications are received and evaluated for completeness by the Minority Affairs Advisory Committee within the Office of Minority Health Research Coordination in the NIDDK.

Applicants will generally be notified of the receipt of an application within two weeks of receipt.

5.B. Application Review

Applications are reviewed by the Review Committee monthly. All eligible applications are given a priority score. Ineligible applications and applications deferred for additional information are unscored. Unscored applications will generally receive notification within two weeks of review. Final funding decisions and ranking of scored applications

occurs four times a year. Applicants receiving a priority score will be notified of the final funding decision within two weeks of the final decision.

For example, if you submit an application between August 2nd and November 15th, and receive a priority score, you will not be notified of a funding decision until December.

Application Receipt Date

Final Funding Decision

August 2nd to November 15th

December

November 16th to February 15th

March

February 16th to May 15th

June

May 16th to August 1st

August

Applications should be submitted at least three months before the requested start date. The earliest possible start date will fall after the final funding decision is made.

Applications received after August 1st will only be considered for funding in the next fiscal year.

In making requests, the grantee institution, on behalf of the Principal Investigator of the parent grant and in cooperation with the candidate **must submit the request for supplemental funds directly to NIDDK. The request SHOULD NOT be submitted to the NIH Center for Scientific Review.** The Principal Investigator must submit one original and two copies of the application to the address listed under [Program Administrator](#) above.

6. Intergovernmental Review

This initiative is not subject to [intergovernmental review](#).

7. Funding Restrictions

All awards are subject to the terms and conditions, cost principles, and other considerations described in the NIH Grants Policy Statement. The Grants Policy Statement can be found at <http://grants.nih.gov/grants/policy/policy.htm>

Awards are based on the current programmatic needs of NIDDK. Therefore, investigators must contact their program administrators at NIDDK before applying. The decision to fund a supplement may take up to four months from receipt of a complete application.

Supplement awards must be consistent with the goal of strengthening the existing research program and with the overall programmatic balance and priorities of the funding component of the NIH. Awards will be made according to the policies and provisions stated in this announcement or as further specified by the NIH component funding the parent grant. The award limits listed in this document for each career level represent the support the NIH will provide. An award does not preclude the institution's use of funds from other sources to supplement the award.

7.A. Competing Renewal Applications

Funds for continuation of support of the supplemental award during the competitive renewal of the parent grant will depend upon the successful renewal of the parent grant and will be handled as follows:

7.A.1. Funds for Students Who Have Not Yet Completed Their Research Experience

- Must be requested as a research supplement extension to ensure continued tracking of the individual supported.
- The request for continued support should not be included in the competing renewal, but instead, should be prepared as a letter with information on research progress and accomplishments of the candidate, and must include a detailed budget for the period of continued support.
- The request must be addressed to the program administrator of the parent grant and must be submitted promptly in anticipation of a renewal award to avoid an interruption of support.
- Support for individual students by the supplement mechanism will be limited to a total of two years.
- Additional time may be considered, particularly for students and investigators who have disabilities, but must be well justified.

7. A.2. Funds for Postdoctoral Fellows or Investigators

- Must be requested by name in the parent grant application at the time of renewal and **may not be requested as a research supplement.**
- Postdoctoral fellows and investigators are expected to be fully integrated in the research laboratory when considered for continuation of support.

7. A.3. Funds for Summer-Only Research Appointments

- Must submit early enough to ensure that funding is in place by the time the summer experience is scheduled to begin.
- Applications received between May 16th and August 1st are unlikely to receive funding in time for a summer experience to begin in the same Fiscal Year. (See [Section II.5.B](#), above.) For example, the final funding decision for an application submitted June 1 will not be until mid August. The start date will be in September if awarded.

- For applicants requesting multiple consecutive summer experiences, funds will be provided as an administrative supplement to the parent grant during the first budget period, in most cases. In subsequent years, continued funding for the supplement is contingent on continued funding of the parent grant and cannot extend beyond the current competitive segment of the parent grant and the availability of funds.

SECTION III. DESCRIPTION OF THE NIDDK-SPECIFIC INDIVIDUAL RESEARCH SUPPLEMENT PROGRAMS

1. Qualified Individuals With a Disability

- As part of these awards, funds may be requested to make changes or adjustments in the research setting that will make it possible for qualified individual with a disability to perform the essential functions associated with his/her role on the project.
- The accommodations requested under this program must be **DIRECTLY** related to the performance of the proposed role on the research project and must be appropriate to the disabilities of the individual.
- Some types of accommodations that might be provided under these awards include:
 - a) Specialized equipment
 - b) Assistive devices
 - c) Personnel such as readers, interpreters, or assistants.
- In all cases, the total funds for accommodations requested from the supplement must be reasonable in relationship to the direct costs of the parent grant and the nature of the supplement award.

2. High School Students

- The salary for a high school student, whether full- or part-time, should be consistent with the institutional salary policies. Institutional salary rates for high school students which exceed the hourly minimum wage must be justified.
- Equipment may not be purchased with these funds.
- Students are expected to devote sufficient effort to the research project and related activities during the period of support to gain insight into the process of scientific discovery. Support for at least three months is encouraged during any one year. This may include a mixture of full-time summer experience and part-time experience during the school year. The maximum support period is two years.
- Principal Investigators are encouraged to seek high school students who will devote at least two years to this program (i.e., equivalent to two three-month, full-time periods).
- Exceptions to the latter will be considered, depending on the circumstances of the applicant, the parent grant, and the specific request.

3. Undergraduate Students

- The salary for an undergraduate student should be consistent with the institutional salary policies. Institutional rates for undergraduate salary that exceeds \$10 per hour must be justified.
- An additional amount of \$200 per month for supplies and travel may also be requested.
- Equipment may not be purchased using these funds.
- Students are expected to devote the equivalent of at least three months of full-time effort to the research project and related activities in any one year. The period of support is limited to a maximum of two years.
- Exceptions to these requirements will be considered, depending on the circumstances of the applicant, the parent grant, and the specific request.

4. Post-Baccalaureate and Post-Master's Degree Students

- The salary for students at the post-baccalaureate and post-master's degree levels should be reasonable and consistent with the institutional salary policies and can not exceed the amount allowed for graduate students.
- Additional funds up to \$3,000 per year may be requested for supplies and travel.
- Funds may not be used to purchase equipment.
- The period of support is limited to a maximum of two years.
- Exceptions to these requirements will be considered, depending on the circumstances of the applicant, the parent grant, and the specific request.

5. Pre-Masters and Pre-Doctoral Graduate Research Assistants

- NIDDK will provide salary support in addition to other necessary expenses, such as supplies and travel, to enable the individual to participate as a graduate research assistant in funded research project.
- NIDDK will provide compensation that (1) conforms to the established, consistently applied salary and wage policies of the institution and (2) reflects the percentage of time devoted to the PHS-funded project.
- For graduate students this compensation may include tuition remission paid as, or in lieu of, wages provided that the student is in a bona fide employer-employee relationship with the institution for the work performed, and payment is made explicitly for performance of necessary work.
- The total amount requested for salary, tuition and fringe benefits can not exceed the amount allowable for a first year postdoctoral fellow at the same institution performing comparable work (see NIH Guide announcement, <http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-02-017.html>).
- Additional funds up to \$4,000 per year may be requested for supplies and travel.
- Funds may not be used to purchase equipment.
- The period of support is limited to a maximum of two years.

- Exceptions to these requirements will be considered, depending on the circumstances of the applicant, the parent grant, and the specific request

6. Individuals in Postdoctoral Training

- NIDDK will provide support for salary in addition to other necessary expenses, such as travel and supplies, to enable the candidate to participate as a postdoctoral research assistant or associate on the funded research project.
- The requested salary and fringe benefits must be in accordance with the salary structure of the grantee institution, consistent with the level of effort, and may not exceed \$40,000 per year.
- The maximum support period is two years.
- The supplement budget may include up to \$6,000 for supplies and travel for the candidate.
- These funds may not be used to purchase equipment.

7. Investigators Developing Independent Research Careers

- The requested salary and fringe benefits for an investigator should be consistent with the level of support provided by NIH Career Development Awards. When that is not appropriate, the requested salary and fringe benefits can be up to \$80,000 total direct cost. This includes the candidate's salary of up to \$70,000 per year plus fringe benefits, in accordance with the salary structure of the grantee institution, and must be consistent with the level of effort.
- Additional funds of up to \$10,000 may be requested for supplies and travel.
- Equipment may not be purchased except in unusual circumstances and not without prior approval of the NIH awarding component.
- The maximum period of support for any investigator is usually two consecutive years at a minimum of 50% effort for MD clinicians and 75% effort for non-clinical MD's and PhD's.

8. Supplements for Established Investigators Who Become Disabled

- Support will be limited to items that will permit the investigator to complete the remaining years of a currently funded research project. This might include:
 - Salary support for an individual who can assist the Established Investigator in meeting the goals of the research project
 - Specialized equipment such as computers, or modifications of the working environment.
- In all cases, the requested support must be consistent with the type of disability and the nature of the approved research.
- The total amount of support requested under this supplement must be reasonable in relationship to the direct costs of the parent award and the Established Investigator's role and effort on the project.

- In future competing applications, funds for continuation of the accommodations provided under this supplement must be requested in the parent grant application and may NOT be requested as a research supplement.

SECTION IV. APPLICATION REVIEW INFORMATION

1. Application Review Criteria

The staff of NIDDK will review requests for a supplement to determine its overall merit. The following general criteria will be used:

- The qualifications of the candidate including career goals, prior research training, research potential, and any relevant experience.
- Evidence of educational achievement and interest in science, if the candidate is a student.
- The strength of the description of how this particular appointment will promote diversity within the institution or in science nationally.
- The plan for the proposed research and career development experiences in the supplemental request and their relationship to the parent grant.
- Evidence that the proposed experience will enhance the research potential, knowledge, and/or skills of the candidate and that adequate mentorship will be provided.
- Evidence that the activities of the candidate will be an integral part of the project.

2. Review and Selection Process

Applications submitted for this funding opportunity will be reviewed by NIDDK using the criteria shown above.

3. Merit Review Criteria

Applications submitted in response to a funding opportunity will compete for available funds with all other recommended applications using the criteria shown in [Section IV.1](#), above.

3.A. Additional Review Criteria:

In addition to the above criteria, the following items will be applied only when it has not been previously reviewed as part of the parent grant:

- **Protection of Human Subjects from Research Risk:** The involvement of human subjects and protections from research risk relating to their participation in the proposed research will be assessed (see the Research Plan, Section E on Human Subjects in the PHS Form 398).
- **Inclusion of Women, Minorities and Children in Research:** The adequacy of plans to include subjects from genders, all racial and ethnic groups (and subgroups), and

children as appropriate for the scientific goals of the research will be assessed. Plans for the recruitment and retention of subjects will also be evaluated (see the Research Plan, Section E on Human Subjects in the PHS Form 398).

- Inclusion of Women Plan - for clinical research only. Does the applicant propose a plan for the inclusion of both genders that will provide their appropriate representation? Does the applicant provide appropriate justification when representation is limited or absent? Does the applicant propose appropriate and acceptable plans for recruitment/outreach and retention of study participants?
- Inclusion of Minorities Plan - for clinical research only. Does the applicant propose a plan for the inclusion of minorities that will provide their appropriate representation? Does the applicant provide appropriate justification when representation is limited or absent? Does the applicant propose appropriate and acceptable plans for recruitment/outreach and retention of study participants?
- Inclusion of Children Plan- for all studies involving human subjects. Does the applicant describe an acceptable plan in which the representation of children of all ages (under the age of 21) is scientifically appropriate and recruitment/retention is addressed realistically? If not, does the applicant provide an appropriate justification for their exclusion?
- Data and Safety Monitoring Plan – for clinical trials only. Does the applicant describe a Data and Safety Monitoring Plan that defines the general structure of the monitoring entity and mechanisms for reporting Adverse Events to the NIH and the IRB?
- Care and Use of Vertebrate Animals in Research: If vertebrate animals are to be used in the project, the five items described under Section F of the PHS Form 398 research grant application instructions will be assessed.
- Biohazards: Is the use of materials or procedures that are potentially hazardous to research personnel and/or the environment proposed? Is the proposed protection adequate?

3. B. Additional Review Considerations

Not applicable

3. C. Sharing Research Data

Not applicable

3. D. Sharing Research Resources

Not applicable

SECTION V. AWARD ADMINISTRATION INFORMATION

1. Award Notices

Approximately 2 weeks after the final funding decision is made, the Program Administrator will notify applicants of the intent to award. The award process will be described to the applicant by letter at that time.

2. Administrative Requirements

Not applicable

2. A. Cooperative Agreement Terms and Conditions of Award

Not applicable

3. Award Criteria

Awards are based on the current programmatic needs of the NIH awarding component, therefore investigators must contact their program administrators at the NIH before applying. The decision to fund a supplement may take up to four months from receipt of a complete application.

4. Reporting

In non-competing continuation applications, the progress report and budget for the supplement must be clearly delineated from the progress report and budget for the parent grant. The progress report must include information about the research and career development activities supported by the supplement even if support for future years is not requested. Continuation of support for the candidate in the remaining years of the competitive segment of the grant will depend upon satisfactory review by NIDDK of progress for both the parent grant and the supplement project, the research proposed for the next budget period, and the appropriateness of the proposed budget for the proposed effort. This information is submitted with the PHS Non-Competing Grant Progress Report, Form 2590, which can be found at <http://grants.nih.gov/grants/funding/2590/2590.htm> and financial statements as required in the NIH Grants Policy Statement. In the future, identifying information on candidates supported by supplements will be collected at the beginning of the supplement period and at the beginning of each award year in order to evaluate the impact of this program on the candidate's career development.

GRADUATE STUDENT COMPENSATION

Release Date: December 10, 2001

NOTICE: NOT-OD-02-017

National Institutes of Health

INTRODUCTION

This notice establishes a new policy related to the level of compensation for graduate students supported by funds from National Institutes of Health (NIH) research grants and cooperative agreements.

This notice supersedes the notice that appeared in the NIH guide for Grants and Contracts on December 2, 1998

(<http://grants.nih.gov/grants/guide/notice-files/not98-168.html>).

Under this new policy, the maximum amount awarded by the NIH for the support of a graduate student supported on a research grant or a cooperative agreement is tied to the zero level National Research Service Award (NRSA) stipend in effect at the time the grant award is issued. The schedule for NRSA stipends can be found at

<http://grants.nih.gov/training/nrsa.htm>. Consistent with cost principles for educational institutions described in Office of Management and Budget (OMB) Circular A-21 at section J.41.b

(<http://www.whitehouse.gov/omb/circulars/a021/a021.html>), the compensation of graduate students supported by research grants must be

reasonable. These operating principles associated with the compensation of students performing necessary work on NIH funded research projects are described in detail in the NIH Grants Policy Statement at http://grants.nih.gov/grants/policy/nihgps_2001/part_ia_4.htm.

As before, the amount provided for compensation includes salary or wages, fringe benefits, and tuition remission.

These guidelines apply to graduate students at the grantee institution

who are supported by NIH research grants and cooperative agreements and

not to individuals supported by NRSA training grants and fellowships. NIH has separate appropriations to support research training under the NRSA authorization at Section 487 of the Public Health Service Act. The stipends provided to recipients of NRSA support offset the cost-of-living during the period of training and are not considered equivalent to salaries or other forms of compensation provided to individuals supported on research grants. Nevertheless, the entry-level postdoctoral NRSA stipend provides a useful benchmark for an award amount that approximates a reasonable rate of compensation for graduate students. Anticipated escalations in NRSA stipends (see http://grants.nih.gov/training/nas_report/NIHResponse.htm) in future years should permit annual increases in the maximum award amount for such individuals.

BACKGROUND

In 1994, the Department of Health and Human Services Inspector General reported that three of the four universities reviewed were using Federal research grant funds to compensate graduate students at rates above amounts paid to first-year postdoctoral employees performing comparable work (<http://oig.hhs.gov/oas/reports/region1/19404002.pdf>).

Since postdoctoral employees were considered to have more experience and training than comparable graduate students in this study, the excess compensation for students was considered unreasonable. With encouragement from the OMB, the NIH developed guidelines to establish the maximum award for graduate student compensation in 1995 (<http://grants.nih.gov/grants/guide/notice-files/not95-141.html>).

The maximum award amount was modified in 1996 and again in 1998. This document ties the amount awarded for graduate compensation to an NRSA stipend amount that is likely to be adjusted for increases in the cost-of-living in future years.

OPERATING GUIDELINES

For all new and competing grant and cooperative agreement awards, the NIH will provide reasonable amounts for graduate compensation, consistent with the requested budget for the position(s) and up to the currently effective NRSA zero postdoctoral stipend level. For example, in FY2002 until a NIH budget is finalized, any competing awards issued will use the FY2001 level of \$28,260. Once FY2002 stipend levels are established, awards will be issued using the new (yet-to-be-determined) higher level. As in the past, no adjustments will be made to noncompeting total cost award levels or future year commitments. NIH staff will review the compensation requested for graduate students on competing and cooperative agreement applications for which a detailed budget is submitted. NIH will not request nor accept budgets for those applications using a modular budget format solely for the purpose of reviewing graduate student compensation.

Grantees are reminded that when submitting detailed budgets that request support for a graduate student, actual institutional-based compensation should be requested and information justifying the requested compensation level should be provided. If not provided, this information will be obtained from the institution's business office for any request that appears excessive. NIH institutes and centers will review the requested compensation level and, if considered reasonable, will award the actual amount requested, up to a maximum equal to the NRSA zero level postdoctoral stipend. Revised budgets submitted solely to adjust requested levels for graduate students will not be accepted. Institutions may continue to rebudget funds to charge more than the awarded amount provided that OMB cost principles requiring reasonable compensation are observed. In general, graduate student compensation will not be considered reasonable if in excess of the amount paid to a first-year postdoctoral scientist at the same institution performing comparable work.

INQUIRIES

These guidelines are effective immediately with new and competing awards issued on or after the date of this announcement. No adjustments will be made to any competing FY2002 awards already issued.

However, grantees may rebudget to accommodate the higher compensation level. Questions should be referred to the grants management specialist identified on the notice of grant award.

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Department of Health
and Human Services



National Institutes of Health (NIH)
9000 Rockville Pike
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GRADUATE STUDENT COMPENSATION

Release Date: December 2, 1998 (Superceded by [NOT-OD-02-017](#))

P.T.

National Institutes of Health

This notice supersedes the notice that appeared in the NIH Guide for Grants and Contracts, [Vol. 25, No. 8, March 15, 1996](#), about the compensation of graduate students with funds from National Institutes of Health (NIH) research grants. The purpose of this notice is to raise the maximum amount provided by NIH research grants for the compensation of a graduate student employee from \$23,000 to \$26,000. As before, the amount provided for compensation includes salary or wages, fringe benefits, and tuition remission.

These following operating guidelines apply to individuals who are employees of the grantee institution, not to individuals in a training status. NIH has a separate appropriation under the authorization of the National Research Service Act to award institutional research training grants and individual fellowships to support research training.

OPERATING GUIDELINES

Effective immediately, NIH will provide up to \$26,000 for graduate student compensation on competing grant and cooperative agreement awards. No adjustments will be made to noncompeting total cost award levels or future year commitments. NIH staff will review the compensation requested for graduate students on

competing grant and cooperative agreement applications for which a budget is submitted. NIH will not request budgets for those applications submitted following modular grant instructions solely for the purpose of reviewing graduate student compensation, although the role of a graduate student must be described in the budget narrative section. However, this does not eliminate the requirement that institutions ensure that reasonable rates of compensation are being charged to NIH research grants.

When submitting budgets that request support for a graduate student, the applicant institution should provide in the budget justification section the basis for the compensation level. If not provided, this information will be obtained from the institution's business office for any request that appears excessive. NIH institutes and centers will review the requested compensation level and, if it is reasonable, will award the actual amount requested, up to a maximum of \$26,000. Institutions may rebudget funds to charge more than \$26,000 to the grant award, provided it is in accordance with OMB cost principles requiring that costs reflect reasonable compensation (e.g., does not exceed the amount paid to a first-year postdoctoral employee at the same institution performing comparable work).

INQUIRIES

These guidelines are effective immediately. Questions about these guidelines should be referred to the grants management specialist identified on the notice of grant award.

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